


Proposal Evaluation

Roger Millar, Secretary of Transportation

Safety

- Sign-in
- Who is CPR Qualified?
- AED
- Who will call 911?
- Evacuation
- Restrooms
- Breaks



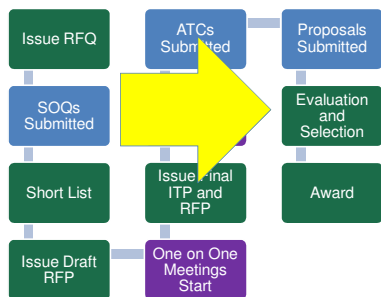
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Course Overview

- Best Value Selection
- Goals for using Best Value procurement
- WSDOT Evaluation Team
 - Roles & Responsibilities
- Proposal Review and Evaluation
- Best Value Determination

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Procurement Timeline



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Best Value Selection

- Reflects “Design-Build” Difference
 - best way to manage risk
 - get the project we envision
- DBB (low bid) vs. DB (best value)



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Best Value Selection

- RFP describes:
 - project goals
 - relative order of importance of the evaluation criteria
 - allocation of risk to the party who can manage it best
- In their response, the Proposers will:
 - demonstrate their plan to achieve or exceed project goals
 - will be innovative in their approach
 - focus their efforts on those elements that we said are important to us
 - demonstrate they understand the risks and have a plan to manage them.

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Best Value Selection

- **Allows for WSDOT to consider other factors**
 - Operations
 - Maintenance
 - Traffic Control
 - Environmental
 - Schedule

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Goals

- **Create value for the project.**
- **Conduct a transparent and defensible selection process**
 - maintain the confidentiality of the evaluation process.
 - follow public contracting law
 - evaluate Proposals fairly and according to the criteria established in the procurement documents.

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Evaluation Standard

- **To be defensible in court:**
 - do not act in a way that is "Arbitrary and Capricious"
 - Best Value selection arrived at through a fair process
- **Establish a fair process**
 - relies on Evaluators making decisions that are fair and transparent
 - follow rules set forth by the Agency

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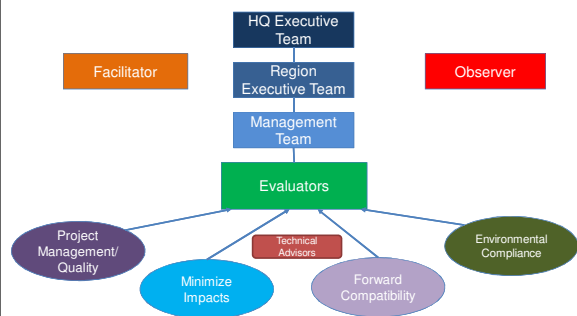
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Evaluation Committee Organizational Chart



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Facilitator Responsibilities

- Driver and point of contact
- **At the start of the Process:**
 - Schedule Eval team meetings
 - Leads the Evaluation Kick-Off Meeting
 - Obtains Confidentiality and No Conflicts of Interest Affidavit from Evaluators

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Facilitator Responsibilities

- **During the Evaluation:**
 - **Coordinates the Evaluation Process:**
 - facilitates the participation of Observers (if any) and substitute Evaluators
 - keeps evaluation on schedule
 - schedules Technical Advisors
 - coordinates Reference Checks
 - maintains evaluation file

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Facilitator Responsibilities

- **At the Conclusion of the Proposal Evaluation:**
 - Writes Technical Evaluation Summary Report
 - Present a Summary of the Evaluation during Internal Debriefs
- **After Bid Opening:**
 - Holds project Debriefs

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Evaluator Responsibilities

- **Evaluators (Typically Three)**
 - Becomes familiar with ITP and RFP sections related to the Technical Proposal section being evaluated
- **During the Evaluation:**
 - Reviews Proposals and assesses strengths and weakness of each technical criteria.
 - Records on the Qualitative Evaluation Form
 - Agree on adjectival rating for each section

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Observer Responsibilities

- **Observer:**

- Attend Evaluation Meetings
- Protects the Process
 - ensures WSDOT-approved procurement processes and procedures are followed
 - observes that appropriate evaluation records are maintained
 - *does not provide input on qualitative evaluations*
 - speaks up whenever bias is perceived in the procurement

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Technical Advisor Responsibilities

- **Subject Matter Experts**

- Becomes familiar with ITP and RFP sections related to the Technical Proposal section being evaluated
- Reviews Proposals and assesses strengths and weakness of the technical criteria in their area of expertise
- Records on the Qualitative Evaluation Form
- Does not score Proposals
- Does not attend the Evaluation Meetings except at scheduled times

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Confidentiality

- **COMPLETELY Confidential**

- **Every person must sign a Confidentiality Agreement.**

- All information confidential
- No discussions with anyone who hasn't signed confidentiality agreement
- Maintain control of all materials and information
- Return all materials to WSDOT



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Conflicts of Interest

- No financial interest in an entity pursuing the project
 - Personal
 - Business
 - Family
- Disclosure of potential conflicts of interest
- No gifts



Project Office Preparation for Evaluation

- Develop the Evaluation Schedule

MONDAY	TUESDAY	WEDNESDAY	THURSDAY	FRIDAY
27	28 [Proposal Due]	29 [Proposal Kick-off Meeting]	30 [Proposal Read and Review]	31
3	4	5 [Office Break - Dead Week]	6	7
10	11 [Proposal Read and Review]	12 [400pm * Comments Due 4pm *]	13 [Proposal Facilitator - Comment Prep Day]	14 [Proposal Eval Goal 1]
17 [Proposal Eval Goal 2]	18 [Proposal Eval Goal 3]	19 [Proposal Reference Check]	20 [Proposal Contingency Day]	21 [Proposal Debrief - Integrate Team - Proposal Facilitator Prep Debrief Docs]
24 [Proposal Debrief QA/QC - Drafts - Proposal Facilitator Prepare Debrief Docs]	25 [Proposal Debrief HQ Specs]	26 [Bid Opening / Apparent Best Value]	27	28

Project Office Preparation for Evaluation

- Select the Evaluation Team
- Develop Evaluation Documents
 - Conformed RFP
 - Qualitative Evaluation Form
 - Kick-off Meeting Agenda
 - Pass-Fail Checklist to HQ Contract Ad & Award

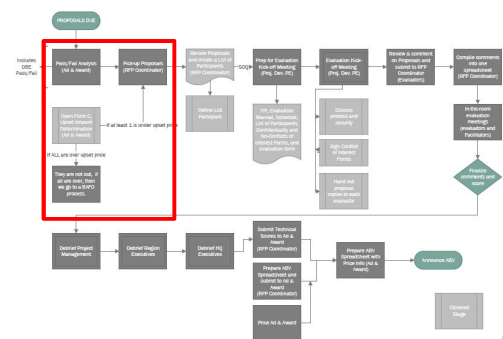
Project Office Preparation for Evaluation

- **Develop Documents for Bid Opening**
 - Estimate (Lock in Ebase)
 - Best Apparent Value Spreadsheet to Contract Ad & Award
- **Coordinate**
 - Proposal Pick-up
 - Escrow Facility agreement

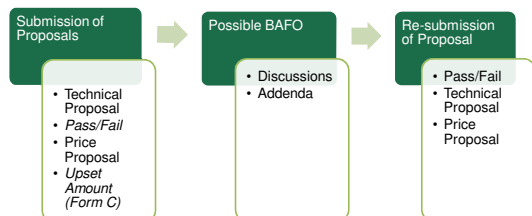
HQ Contract Ad & Award Office Proposal Review



Proposal Evaluation Flow Chart



Proposal Submission Timeline



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Pass/Fail Criteria

- **Administrative check; does not address technical merit of the proposal.**
- **Initial review of submittals to determine whether responsive.**
 - Key Personnel have not changed
 - Proposal Bond provided
 - Documents complete, accurate, responsive
- **Pass/Fail Elements**
 - Executive Summary
 - Submission of Required Forms

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Pass/Fail Checklist

Name of Proposal Evaluator	Proposer		
PASS/FAIL TASK		PASS	FAIL
General			
<ul style="list-style-type: none"> • BAFO Proposal received by 11:00 a.m., Pacific Time on April 13, 2017. • Provided one original and 11 copies of Technical Proposal and two USB flash drives, each containing an electronic copy of the Proposal in sealed packages. • Technical Proposal prepared on letter-size paper for 11 by 17 inch paper for charts, tables, and other graphical information. Proposal did not exceed 12 pages (Tables 2.1.2 and 2.1.3 and 12-point font. (Excludes all appendices). 			
Section 1 – Executive Summary			
<ul style="list-style-type: none"> • Each of the subsequent sections is summarized. 			
Appendix A (RFP Section 3.5.6)			
<ul style="list-style-type: none"> • Form A (Design-Build Proposal Form and Signature Page) • Form D (Contract Time/Milestones Completion Deadlines) • DBE Performance Plan • Form E (Identification of Proposer, Cooperator, Major Participants, Earthwork Subcontractors, Structure Subcontractors, and Trade Subcontractors and Subcontractors Performing 50 percent or more of the Design-Build Work) • Description of Legal Structure • Joint and Several Liability Letter – For PVs • Form G (Non-Collusion Declaration) • Form H (Certification for Federal-Aid Contracts) • Form K (Form of Guaranty) • Form L (Utility Certification) • Evidence of Authentication – Powers of Attorney • Information and Work Site Certification • Certification re: Changes to Key Personnel and Major Participants • Certification re: Right-of-Way • Form M (Signed Agreement) • Form N (Signed Invoice) 			

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Irregularities

- **Irregularities**
 - Element that does not conform to the ITP or RFP
- **Material Irregularity**
 - Gives one Proposer an advantage over others
 - Cannot waive
- **Immaterial Irregularity**
 - Does not affect procurement
 - Can waive



If no irregularities, Passes

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Upset Amount

- **Designated in the ITP.**
- **Form C "Upset Amount Determination"**
 - Opened by Contract Ad and Award
- **BAFO**

One Proposal Less than Upset Amount

- No BAFO

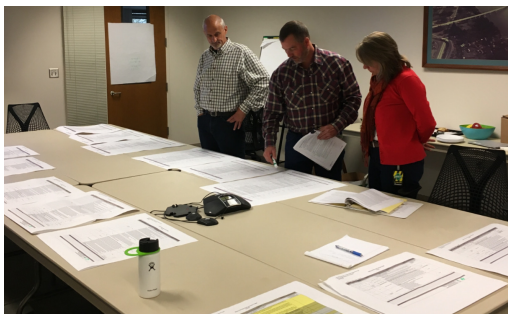
All Proposals are Over Upset Amount

- May request BAFO
- May cancel RFP

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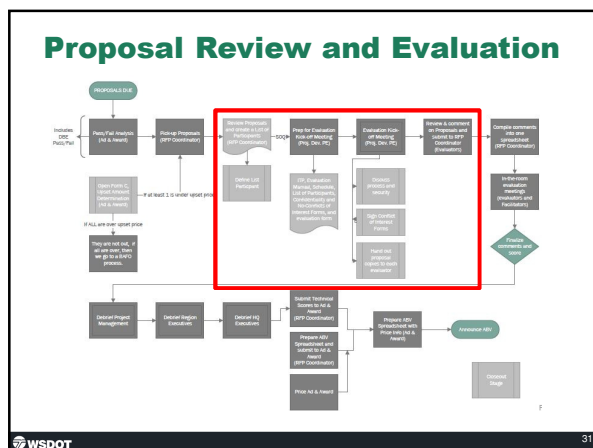
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Evaluation Team Proposal Evaluation



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Kickoff Meeting

- Initial meeting for the evaluation process
- Agenda:
 - Welcome
 - Security/Document Control
 - Evaluation Schedule
 - Roles & Responsibilities
 - Project Description
 - Project Goals & ITP Evaluation Criteria
 - Evaluation Procedure

Part of Kickoff Meeting: Evaluation Team Commitment

- Objectively and Impartially evaluate Proposals
- Understand and follow ITP and RFP
- Meet schedule commitments
- Carefully read all Proposals
- Complete Forms
- Abide by confidentiality rules

Proposal Contents

- Technical Proposal
- Forms and Appendices
- Price Proposal (submitted separately)

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Alternative Technical Concepts

Definition:

- A confidential request by a Proposer to modify a contract requirement specifically for that Proposer prior to the Proposal due date.
- Overall “equal or better” project.
 - Requests that merely delete scope or reduce performance *are not ATCs*.
- Approval of the ATC is solely within WSDOT’s discretion.
 - Must be fully approved before submission of the Proposal.

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Evaluator’s Independent Review / Evaluation

- Independent Review/Evaluation
- Follow ITP (Instructions to Proposers)
- Don’t Compare Proposals
- Qualitative Evaluation Form

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Evaluating the Criteria

- **Objective:**
Award Technical Credits, which are expressed as specific dollar amounts for achievement of measurable milestones
- **Qualitative:**
Analysis of whether a narrative meets described criteria.



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"Strengths" and "Weaknesses"

For each scored criteria, determine
"Strengths" and "Weaknesses"



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Assessing Strengths & Weaknesses

1. High Significant Strength	Strength - That part of the Proposal which represents a benefit to the Project and is expected to increase the Proposer's ability to meet or exceed the Project Goals.	A significant strength has a considerable positive influence on the Submitter's ability to meet or exceed the Project goals.
2. Significant Strength		
3. Low Significant Strength		
4. High Minor Strength	Weakness - That part of the Proposal which detracts from the Proposer's ability to meet the Project goals or may result in an inefficient or ineffective performance.	A minor strength has a slight positive influence on the Submitter's ability to meet or exceed the Project goals.
5. Minor Strength		
6. Low Minor Strength		
7. Neutral		
8. Low Minor Weakness		
9. Minor Weakness		
10. High Minor Weakness		
11. Low Significant Weakness		
12. Significant Weakness		
13. High Significant Weakness		

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Evaluation Form (Example)

<Project Name>
Washington State Department of Transportation
CONFIDENTIAL

QUALITATIVE EVALUATION FORM
Design-Build Team 1

Section 3 - Project Management - Goal #2

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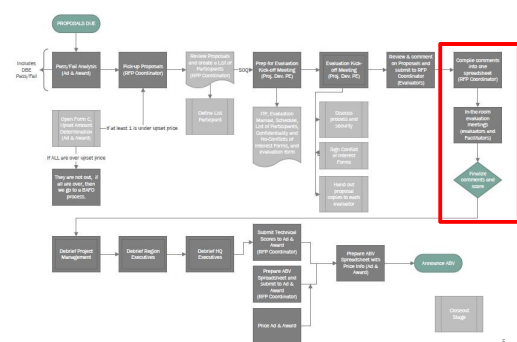
Project Office Prep

- | | |
|--|---|
| <ul style="list-style-type: none"> • Locate a secure place to keep documents • Put copies of electronic version in secure folder • Grant permissions to secure folder • List of Hard Copies of Proposal • Conformed set of ITP and RFP | <ul style="list-style-type: none"> • “Mail Check” • Have OEO check DBE Inclusion Plans • Secure room for Evaluation <ul style="list-style-type: none"> – with projector/tv • Snacks, coffee, possibly working lunch |
|--|---|



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Awarding Technical Credits



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Facilitator Work

<Project Name>
Washington State Department of Transportation
CONFIDENTIAL

Evaluator 1	Evaluator 2	Evaluator 3
1	1	1
2	2	2
3	3	3
4	4	4
5	5	5
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8	8	8
9	9	9
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100	100	100

QUALITATIVE EVALUATION FORM
Design-Build Team 1

Section 3 - Project Management - Goal #2

[illegible]

In-the-Room Team Evaluation

- **Ensure a Proposal is Responsive**
- **Condense like comments to a single agreed upon comment and strength/weakness rating**
- **Use Strength/Weakness ratings to assign an Adjectival Rating per goal**
 - Excellent
 - Very Good
 - Good
 - Fair
- **Use Adjectival Rating to assign a percent of max score**



Adjectival Rating

Rating:

Percent of Max Score:

Excellent

- 100-75%

Very Good

- 74-50%

Good

- 49-25%

Fair

- 24-0%



Best Value Determination

-Date-

<Project Name>
BEST VALUE DETERMINATION (ITP Section 4.5.1)

BEST VALUE EQUATION: $ABV = SP + (\text{SUM OF ALL TC})$

CONTRACT: 8991

ENGINEER'S ESTIMATE: \$10,864,769.04

UPSET AMOUNT: \$12,000,000.00

MAXIMUM TECHNICAL CREDITS: \$1,200,000.00

Where: ABV = Apparent Best Value
SP = The Proposal Price from the Price Proposal
TC = Assigned Technical Credits

Substantial Completion on or before October 31, 2018

Apparent Best Value	Assigned Technical Credits (TC)	Proposal Price (SP)	PROPOSER NAME
10,379,155	1,099,750.00	\$ 11,477,905.00	Design-Build Team 1
14,283,755	1,116,250.00	\$ 15,500,002.00	Design-Build Team 2
9,778,755	1,151,250.00	\$ 10,930,002.00	Design-Build Team 3
41,000,000	5,000,000.00	\$ 46,000,000.00	Example Calculation

The successful Proposal will be the one calculated to have the lowest Apparent Best Value

APPARENT BEST VALUE DESIGN BUILDER:

Design-Build Team 3

APPARENT 2ND BEST VALUE DESIGN BUILDER:

Design-Build Team 1

APPARENT 3RD BEST VALUE DESIGN BUILDER:

Design-Build Team 2

A PRICE PROPOSAL THAT EXCEEDS THE UPSET AMOUNT WILL BE INELIGIBLE FOR AWARD

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Conclusion of Process

- **Notification to Proposers**
- **Executive Summary**
 - Written explanation of scores
 - Include distinguishing factors
 - Should be "fact checked" against the Proposals
 - Serves as evidence in protest
- **Debrief of Proposers**

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Prior to Award

- **Concurrence to Award**
 - From Management, Region, and HQ Executive Teams
- **List of Betterments**
 - Written concurrence from Evaluators, Management Team, and ASCE
 - Send to Contract Ad & Award
 - List of Betterments will be made part of the Contract

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After Award

- PDRs
 - HQ Contract Ad & Award will assist with any PDR requests

WSDOT Design-Build Training

The WSDOT Design-Build Training Courses have the following modules:

- In Person Courses:
 - Design-Build 101 (*Prerequisite to this course*)
 - Design-Build Startup: Development of the Request for Qualifications and Instructions to Proposers
 - Design-Build Request for Proposals
 - Design-Build Office Management and Contract Administration
 - Design-Build Closeout Process
 - Environmental Issues in Design-Build
 - Quality Control/Quality Assurance in Design-Build
- Online Courses:
 - Statement of Qualifications Evaluation
 - Proposal Evaluation
 - Alternative Technical Concept Evaluation

Headquarters Design-Build Contacts

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Resources

- WSDOT Design-Build Web Page
<http://www.wsdot.wa.gov/Projects/delivery/designbuild/Default.htm>
- Joint Transportation Committee of Washington State Legislature Design-Build Study
<http://leg.wa.gov/JTC/Pages/Design-Build-Study.aspx>
- WSDOT Design-Build Templates
<http://sharedot.eng/cn/hqconstr/dpb/DB%20Templates/Forms/AllItems.aspx>
- Design-Build Institute of America Best Practices
<https://www.dbia.org/resource-center/Pages/Best-Practices.aspx>
- Design-Build Institute of America Transportation Conference
www.dbia.org

Questions